

#### U.S. ATOMIC ENERGY COMMISSION

### GULATORY GUIDE

DIRECTORATE OF REGULATORY STANDARDS

**REGULATORY GUIDE 10.1** 

#### COMPILATION OF REPORTING REQUIREMENTS FOR PERSONS SUBJECT TO AEC REGULATIONS

#### A. INTRODUCTION

The Commission's regulations set forth in Title 10, Code of Federal Regulations, require the submission of various reports in connection with licensed activities. In addition, the Commission regulations require that each applicant for a license authorizing operation of a production or utilization facility include in the application proposed technical specifications. These technical specifications as approved by the AEC are incorporated into the facility license as conditions of the license and include a section on reporting requirements. This guide presents a compilation of all reporting requirements applicable to the various types of AEC licensees and other persons subject to AEC regulations, including identification of the proper AEC addressee or addressees and designation of the number of copies required.

#### **B. DISCUSSION**

For the most part, neither the AEC's regulations nor the technical specifications of a facility license specify the number of copies of a report that should be submitted by a licensee to the Commission. In addition, although the regulations specify how a report should be addressed, e.g., the responsible AEC Directorate, the addressees will change periodically as a result of modifications in workload or functional realignments. Appendix A of this guide is a complete listing of all AEC reporting requirements in effect at the time of issuance and indicates the number of copies of reports that should be submitted in order to assure timely review by the Regulatory staff.

The second column of Appendix A titled "Type of Licensee" shows those types of licensees that are normally subject to the particular reporting requirement. Categories included are (1) Reactor Facility Licensees, (2) Fuel Fabrication and Fuel Reprocessing Plant Licensees, (3) Byproduct Material Licensees, (4) Source Material Licensees, and (5) Other Special Nuclear Material Licensees. Because of the broad categorization of licensees listed in the "Type of Licensee" column and because other reporting requirements may be applicable in particular situations, this column should not be relied upon as definitive in all situations.

This guide does not discuss the specific information that is to be contained in the report; for this information the licensee should refer to the underlying regulation or provision of the license technical specifications. In some cases, the information that is to be submitted by licensees is described in detail in other publications in the Regulatory Guide series. For example, Regulatory Guide 1.16 deals with the reporting of operating information for nuclear power plants, and Regulatory Guide 3.19 deals with the reporting of operating information for fuel reprocessing plants.

As indicated in Appendix A, when a report is to be sent to both a primary recipient and secondary addressee, any cover letter should be addressed to the primary recipient and should show that copies are also being forwarded to the secondary addressee. There should be a cover letter for each copy of the report.

It is expected that this guide will be revised from time to time as the various reporting requirements are modified or as new requirements are added. For any new

#### **USAEC REGULATORY GUIDES**

Regulatory Guides are issued to describe and make available to the public Regulatory Guides are issued to describe and make available to the public methods acceptable to the AEC Regulatory staff of implementing specific parts of the Commission's regulations, to delineate techniques used by the staff in evaluating specific problems or postulated accidents, or to provide guidance to applicants. Regulatory Guides are not substitutes for regulations and compliance with them is not required. Methods and solutions different from those set out in the guides will be acceptable if they provide a basis for the findings requisits to the issuance or continuance of a permit or license by the Commission.

Published guides will be ravised periodically, as appropriate, to accommodate comments and to reflect new information or experience,

Copies of published guides may be obtained by request indicating the divisions desired to the U.S. Atomic Energy Commission, Washington, D.C. 20545, Attention: Director of Regulatory Standards, Comments and suggestions for Improvements in these guides are encouraged and should be sent to the Secretary of the Commission, U.S. Atomic Energy Commission, Washington, D.C. 20645, Attention: Docketing and Service Section.

The guides are issued in the following ten broad divisions:

- 1. Power Reactors
- Research and Test Reactors
  Fuels and Materials Facilities
- 4. Environmental and Siting 5. Materials and Plant Protection
- 6. Products
- 7. Transportation 8. Occupational Health 9. Antitrust Review
- 10. General

or revised reporting requirement not listed in the appendix and for which the appropriate number of copies is not specified in the regulations or technical specifications, a licensee should submit 20 copies of the report or as otherwise specified by the Commission.

#### C. REGULATORY POSITION

The addressees and copy coverage shown in Appendix A are intended to implement the reporting requirements of Title 10 of the Code of Federal Regulations and those reporting requirements imposed by the AEC as license conditions. It is recognized that, in a number of cases, there is a conflict between the addressee shown in Appendix A and the addressee shown in the underlying regulation. For these situations, appropriate changes to the regulations are in the process of being developed.

#### D. IMPLEMENTATION

The purpose of this section is to provide guidance to applicants and licensees regarding an implementation schedule for utilizing this guide.

The reports listed in the guide reflect regulatory or license requirements existing at the date of the guide. Therefore, the indicated reporting requirements with respect to the number of copies and timing of the report should be followed for the next submittal of each report listed. Until appropriate changes are made in the regulations to conform to the addressees as shown in Appendix A. reports may continue to be submitted to the addressees shown in the applicable sections of the regulations.

Irrespective of transmittal mode or addressee, all reports submitted by licensees shall reference:

- 1. the specific section of regulations under which the report is submitted.
- the governing docket and/or license identification number.

#### APPENDIX A

| No. | Type of<br>Licensee* | Report  | Requirement   | Timing                    | Method            | Primary<br>Recipient             | Secondary<br>Addressee                        |
|-----|----------------------|---|---------------|---------------------------|-------------------|----------------------------------|---|
| 1.  | All                  | Report of radioactive contamination of package of radioactive material              | §20.205(b)(2) | Immediately               | P, T <sup>a</sup> | RO Reg<br>Off, <sup>b</sup>      | Final<br>Delivering<br>Carrier                |
| 2.  | All                  | Report of excessive radiation levels external to the package                        | §20.205(c)(2) | Immediately               | Р, Т              | RO Reg.<br>Off.                  | Final<br>Delivering<br>Carrier                |
| 3.  | All .                | Theft or loss of licensed material  | § 20.402(a)   | Immediately               | P, T              | RO Reg.<br>Off.                  | None  |
| 4.  | All                  | Theft or loss of licensed material  | §20.402(b)    | 30 days                   | Mc                | RO Reg.<br>Off. (2) <sup>d</sup> | Dir., RO<br>(6) <sup>d</sup>                  |
| 5.  | All                  | Report of incident  | § 20.403(a)   | Immediately               | Р, Т              | RO Reg.<br>Off.                  | None  |
| 6.  | All                  | Report of incident  | §20.403(b)    | 24 hours                  | Р, Т              | RO Reg.<br>Off.                  | None  |
| 7.  | All                  | Overexposure of individual and excessive levels and concentrations of radioactivity | § 20.405(a)   | 30 days                   | W                 | RO Reg.<br>Off. (2)              | Dir., RO°<br>(6)<br>Exposed<br>Individual (1) |
| 8.  | A, B, C, E           | Personnel exposure and monitoring reports   | §20.407(b)    | Annually                  | w                 | Dir., RO<br>(1)                  | None  |
| 9.  | A, B, C, E           | Personnel exposure at termination of employment                                     | §20.408       | 90 days after termination | w                 | Dir., RO<br>(1)                  | Exposed Individual (1)                        |

<sup>\*</sup>Code: A - Reactor facility licensees

B - Fuel fabrication and fuel reprocessing plant licensees

C - Byproduct material licensees

D - Source material licensees

E - Other special nuclear material licensees

All - All licensees

<sup>&</sup>lt;sup>a</sup>P, T – indicates that notification may be by phone, telegraph, maligrein, or facsimile.

<sup>&</sup>lt;sup>b</sup>RO Reg. Off. – indicates appropriate Regulatory Operations Regional Office specified in Appendix D of 10 CFR Part 20.

W - Indicates written report.

dNumber in parenthesis following the primary recipient or the secondary addressee indicates the appropriate number of copies of the report that should be forwarded to each. Where notification is by phone, telegraph, mailgram, or facsimile, no copy distribution is indicated.

\*Director of Regulatory Operations, U.S. Atomic Energy Commission, Washington, D.C. 20545.

| No. | Type of<br>Licensee | Report  | Requirement | Timing                             | Mathod | Primary<br>Recipient              | Secondary<br>Addressee |
|-----|---------------------|---|-------------|------------------------------------|--------|-----------------------------------|------------------------|
| 10. | С                   | Transfer of tritium — Form AEC-741 — report by transferor                         | §30.55(a)   | Promptly                           | W      | AEC Oak<br>Ridge <sup>f</sup> (1) | Transferee<br>(3)      |
| 11. | C                   | Transfer of tritium — Form AEC-741 — report by transferee                         | §30.55(a)   | 10 days after receipt of material  | W      | AEC Oak<br>Ridge (1)              | Transferor (1)         |
| 12. | С                   | Tritium inventory rpt.  | §30.55(b)   | Semiannually                       | w      | AEC Oak<br>Ridge (1)              | None                   |
| 13. | С                   | Unlawful diversion of tritium   | §30.55(c)   | Promptly                           | P, T   | RO Reg.<br>Off. (1)               | None                   |
| 14. | С                   | Unlawful diversion of tritium   | §30.55(c)   | 15 days                            | w      | RO Reg.<br>Off. (2)               | Dir., RO<br>(5)        |
| 15. | С                   | Transfer of device by general licensee  | §31.5(d)(1) | 30 days                            | W      | RO Reg.<br>Off. (1)               | None                   |
| 16. | С                   | Failure or damage to shielding in device  | §31.5(d)(5) | 30 days                            | W      | RO Reg.<br>Off. (1)               | None                   |
| 17. | С                   | Report of installation or transfer of device by Agreement State specific licensee | §31.6(a)    | Quarterly                          | w      | Dir., Lic. <sup>9</sup><br>(3)    | RO Reg.<br>Off. (1)    |
| 18. | С                   | Registration — Form<br>AEC-483  | §31.11(b)   | Prior to use of byproduct material | W      | Dir., Lic.<br>(3)                 | None                   |
| 19. | С                   | Report of changes of information furnished on Form AEC-483                        | §31.11(e)   | 30 days                            | w      | Dir., Lic.<br>(3)                 | None                   |
| 20. | C                   | Material transfer report by §32.11 licensee                                       | §32.12      | Annually                           | w      | Dir., Lic.<br>(3)                 | RO Reg.<br>Off. (1)    |
| 21. | С                   | Import or transfer of material report by §32.14 or §32.17 licensee                | §32.16      | Annually                           | W      | Dir., Lic.<br>(3)                 | RO Reg.<br>Off. (1)    |

<sup>&</sup>lt;sup>†</sup>U.S. Atomic Energy Commission, Post Office Box E, Oak Ridge, Tenn. 37830, <sup>9</sup> Director of Licensing, U.S. Atomic Energy Commission, Washington, D.C. 20545.

| No.        | Type of Licensee | Report   | Requirement                        | Timing                             | Method | Primary<br>Recipient | Secondary<br>Addressee |
|------------|------------------|--|------------------------------------|------------------------------------|--------|----------------------|------------------------|
| <b>22.</b> | , <b>C</b>       | Report of transfer of license — exempt quantities of byproduct material by §32.18 licensee | §32.20                             | Annually                           | w      | Dir., Lic.<br>(3)    | RO Reg.<br>Off. (1)    |
| 23.        | С                | Import or transfer of material report by §32.22 licensee                                   | §32.25(c)                          | Annually                           | W      | Dir., Lic.<br>(3)    | RO Reg.<br>Off. (1)    |
| 24.        | С                | Import or transfer of material report by § 32.26 licensee                                  | § 32.29(c)                         | Annually                           | W      | Dir., Lic.<br>(3)    | RO Reg.<br>Off. (1)    |
| 25.        | С                | Transfer of devices generally licensed under §31.5 by §32.51 licensee                      | §32.52(a)                          | Quarterly                          | W      | Dir., Lic.<br>(3)    | RO Reg.<br>Off. (1)    |
| 26.        | С                | Transfer of tritium or promethium-147 generally licensed under §31.7 by §32.53 licensee    | §32.56                             | Annually                           | w      | Dir., Lic.<br>(3)    | RO Reg.<br>Off. (1)    |
| 27.        | С                | Transfer of americium-241 generally licensed under §31.8 by §32.57 licensee                | §32.60                             | Annually                           | W      | Dir., Lic.<br>(3)    | RO Reg.<br>Off. (1)    |
| 28.        | C                | Transfer of strontium-90 generally licensed under §31.10 by §32.61 licensee                | §32.63                             | Annually                           | W      | Dir., Lic.<br>(3)    | RO Reg.<br>Off. (1)    |
| 29.        | С                | Disposition of leaking sealed radiographic source  | §34.25(d)                          | 5 days                             | W      | Dir., Lic.<br>(1)    | RO Reg.<br>Off. (1)    |
| 30.        | С                | Report of exceeding limit of removable contamination by Group VI licensee                  | §35.14(b)<br>(5)(iii) <sup>h</sup> | 5 days                             | W      | RO Reg.<br>Off. (2)  | Dir., RO<br>(5)        |
| 31.        | С                | Report of exceeding limit of removable contamination revealed by leak test                 | §35.14(e)(3)                       | 5 days                             | W      | RO Reg.<br>Off. (2)  | Dir., RO<br>(5)        |
| 32.        | С                | Registration — Form AEC-482  | §35.31(b)                          | Prior to use of byproduct material | W      | Dir., Lic.<br>(3)    | None                   |
| 33.        | C                | Report of changes of information furnished on Form AEC-482                                 | §35.31(d)                          | 30 days.                           | w      | Dir., Lic.<br>(3)    | None                   |
| 34.        | D                | Nuclear Material Trans-<br>action Report — Form<br>AEC-741 — filed by<br>transferor        | §40.64(a)                          | Promptly                           | w      | AEC Oak<br>Ridge (1) | Transferee<br>(3)      |

<sup>&</sup>lt;sup>h</sup>Effective January 13, 1975.

| No. | Type of<br>Licensee | Report  | Requirement                          | Timing   | Method     | Primary<br>Recipient | Secondary<br>Addressee |
|-----|---------------------|---|--------------------------------------|--|------------|----------------------|------------------------|
| 35. | D                   | Nuclear Material Trans-<br>action Report — Form<br>AEC-741 filed by transferee          | §40.64(a)                            | 10 days after receipt of material              | W          | AEC Oak<br>Ridge (1) | Transferor (1)         |
| 36. | D                   | Annual statement of source materials inventory  | §40.64(b)                            | Annually                                       | W          | AEC Oak<br>Ridge (1) | None                   |
| 37. | D                   | Unlawful diversion of source material   | §40.64(c)                            | Promptly                                       | P, T       | RO Reg.<br>Off.      | None                   |
| 38. | D                   | Unlawful diversion of source material   | §40.64(c)                            | 15 days  | W          | RO Reg.<br>Off. (2)  | Dir., RO (6)           |
| 39. | A, B                | Exceeding safety limits   | §50.36(c)<br>(1)(i)(A) <sup>[</sup>  | Promptly                                       | P, T       | RO Reg.<br>Off.      | None                   |
| 40. | A, B                | Failure of limiting safety<br>system for automatic<br>safety system                     | §50.36(c)<br>(1)(ii)(A) <sup>i</sup> | Promptly                                       | P, T       | RO Reg.<br>Off.      | None                   |
| 41. | A, B                | Failure of limiting control settings for automatic alarm or protective devices          | §50.36(c)<br>(1)(ii)(B) <sup>i</sup> | Promptly                                       | P, T       | RO Reg.<br>Off.      | None                   |
| 42. | A, B                | Exceeding limiting conditions for operation   | §50.36(c)(2) <sup>i</sup>            | Promptly                                       | P, T       | RO Reg.<br>Off,      | None                   |
| 43. | A, B                | Effluent release report   | §50.36a(a)(2)                        | Semiannually                                   | W          | RO Reg.<br>Off. (2)  | Dir., RO<br>(25)       |
| 44. | A. B                | Changes in security plan made without prior approval                                    | §50.54(p)                            | Two months after change                        | W          | Dir., Lic.<br>(3)    | RO Reg.<br>Off. (1)    |
| 45. | Α                   | Completion of construc-<br>tion before earliest date<br>specified                       | §50.55(a)                            | Promptly                                       | W          | RO Reg.<br>Off. (2)  | Dir., RO<br>(10)       |
| 46. | Α                   | Construction deficiency report  | §50.55(e)(2)                         | Promptly                                       | P, T       | RO Reg.<br>Off.      | None                   |
| 47. | <b>A</b> .          | Construction deficiency report  | §50.55(e)(3)                         | 30 days  | W          | RO Reg.<br>Off. (2)  | Dir., RO<br>(15)       |
| 48. | A, B                | Report of facility changes, tests, and experiments conducted without prior AEC approval | §50.59(b) <sup>j</sup>               | Annually or as otherwise speci fied in license | <b>W</b> . | RO Reg.<br>Off. (2)  | Dir., RO<br>(40)       |
| 49. | Α                   | Copy of annual financial report   | §50.71(b)                            | Upon issuance                                  | W          | Dir., Lic.<br>(8)    | None                   |

See also Reference Numbers 98 and 99. See also Reference Number 96.

| No.         | Type of<br>Licensee | Report  | Requirement                          | Timing  | Mathod  | Primary<br>Recipient | Secondary<br>Addresses |
|-------------|---------------------|---|--------------------------------------|---|---------|----------------------|------------------------|
| 35.         | D                   | Nuclear Material Transaction Report — Form AEC-741 filed by transferee                  | §40.64(a)                            | 10 days after receipt of material             | W       | AEC Oak<br>Ridge (1) | Transferor (1)         |
| <b>3</b> 6, | D                   | Annual statement of source materials inventory  | §40.64(b)                            | Annually                                      | W       | AEC Oak<br>Ridge (1) | None                   |
| 37.         | D                   | Unlawful diversion of source material   | §40.64(c)                            | Promptly                                      | P, T    | RO Reg.<br>Off.      | None                   |
| 38.         | D                   | Unlawful diversion of source material   | §40.64(c)                            | 15 days                                       | w       | RO Reg.<br>Off. (2)  | Dir., RO (6)           |
| 39.         | A, B                | Exceeding safety limits   | §50.36(c)<br>(1)(i)(A) <sup>1</sup>  | Promptly                                      | Р, Т    | RO Reg.<br>Off.      | None                   |
| 40.         | A, B                | Failure of limiting safety<br>system for automatic<br>safety system                     | §50.36(c)<br>(1)(ii)(A) <sup>i</sup> | Promptly                                      | Р, Т    | RO Reg.<br>Off.      | None                   |
| 41.         | A, B                | Failure of limiting control settings for automatic alarm or protective devices          | §50.36(c)<br>(1)(ii)(B) <sup>i</sup> | Promptly                                      | P, T    | RO Reg.<br>Off.      | None                   |
| 42.         | A, B                | Exceeding limiting conditions for operation   | §50.36(c)(2) <sup>i</sup>            | Promptly                                      | P, T    | RO Reg.<br>Off,      | None                   |
| 43.         | A, B                | Effluent release report   | §50.36a(a)(2)                        | Semiannually                                  | W       | RO Reg.<br>Off. (2)  | Dir., RO<br>(25)       |
| 44.         | A. B                | Changes in security plan<br>made without prior<br>approval                              | §50.54(p)                            | Two months after change                       | W       | Dir., Lic.<br>(3)    | RO Reg.<br>Off. (1)    |
| 45.         | A                   | Completion of construc-<br>tion before earliest date<br>specified                       | §50.55(a)                            | Promptly                                      | w       | RO Reg.<br>Off. (2)  | Dir., RO<br>(10)       |
| 46.         | A                   | Construction deficiency report  | §50.55(e)(2)                         | Promptly                                      | P, T    | RO Reg.<br>Off.      | None                   |
| 47.         | A                   | Construction deficiency report  | §50.55(e)(3)                         | 30 days                                       | W       | RO Reg.<br>Off. (2)  | Dir., RO<br>(15)       |
| 48.         | A, 8                | Report of facility changes, tests, and experiments conducted without prior AEC approval | §50.59(b) <sup>j</sup>               | Annually or as otherwise specified in license | W<br>i- | RO Reg.<br>Off. (2)  | Dir., RO<br>(40)       |
| 49.         | Α                   | Copy of annual financial report   | §50.71(i)                            | Upon issuance                                 | W       | Dir., Lic.<br>(8)    | None                   |

See also Reference Numbers 98 and 99. See also Reference Number 96.

|             |                     |  | (Continu                          | ed)   |          |                      |                                  |
|-------------|---------------------|--|-----------------------------------|---|----------|----------------------|----------------------------------|
| No.         | Type of<br>Licensee | Report   | Requirement                       | Timing  | Method   | Primary<br>Recipient | Secondary<br>Addressee           |
| 50.         | Α                   | Fracture Toughness   | Part 50,<br>App. G,<br>Sec. V.E.  | At least 3 years prior to date when the predicted fracture tough ness levels will no longer satis requirements of | fy       | Dir., Lic.<br>(15)   | None                             |
| 51.         | Α                   | Report of test results of specimens withdrawn from capsules (fracture toughness tests) | Part 50,<br>App. H<br>Sec. IV     | Variable  | w        | Dir., Lic.<br>(15)   | None                             |
| 52.         | A                   | Reactor containment build-<br>ing integrated leak rate<br>test                         | Part 50,<br>App. J.,<br>Sec. V.B. | 3 months  | w        | Dir., Lic.<br>(15)   | None                             |
| <b>53</b> , | Α                   | Notification of disability of operator   | §55.41                            | 15 days   | w        | Dir., Lic.<br>(2)    | None                             |
| 54.         | E                   | Changes in material control and accounting program made without prior approval         | §70.32(c)                         | 2 months or<br>6 months   | <b>W</b> | Dir., Lic.<br>(4)    | RO Reg.<br>Off. (1) <sup>k</sup> |
| <b>55.</b>  | E                   | Changes in plan for physical protection of SNM in transit made without prior approval  | §70.32(d)                         | 2 months  | W        | Dir., Lic.<br>(4)    | RO Reg.<br>Off. (1)              |
| 56.         | E                   | Changes in security plan made without prior approval                                   | §70.32(e)                         | 2 months  | w        | Dir., Lic.<br>(3)    | RO Reg.<br>Off. (1)              |
| 57.         | E                   | Annual report of plu-<br>tonium transfer to<br>general licensees under<br>§ 70.19      | §70.39(d)                         | Annual  | w        | Dir., Lic.<br>(2)    | None .                           |
| 58.         | A, B, E             | Accidental criticality or loss of SNM  | §70.52(a) <sup>1</sup>            | Immediately   | P, T     | RO Reg.<br>Off.      | None                             |
| <b>59</b> . | A, B, E             | Theft or unlawful diversion of SNM or attempted theft or unlawful diversion of SNM     | § 70.52(b) <sup>k</sup>           | Immediately   | P, T     | RO Reg.<br>Off.      | None                             |

SNM Reports required by Parts 70 and 73 should be sent to the appropriate RO Regional Office listed in Appendix A of 10 CFR Part 73.

See also Reference Numbers 98 and 99.

| No.          | Type of<br>Licenses | Report  | Requirement           | Timing   | Method         | Primary<br>Recipient         | Secondary<br>Addressee                         |
|--------------|---------------------|---|-----------------------|--|----------------|------------------------------|--|
| 60.          | Ε                   | Material status report,<br>Form AEC-742   | § 70.53(a)            | Semiannually                                     | w              | AEC Oak<br>Ridge (1)         | None   |
| 61.          | E                   | Unaccounted for SNM exceeding applicable limits                                   | § 70.53(b)            | 30 days after start of ending physical inventory | W              | RO Reg.<br>Off. (1)          | Dir., RO (5)                                   |
| . <b>62.</b> | E                   | Nuclear Material Trans-<br>action Report Form<br>AEC-741 — filed by<br>transferor | §70.54                | Promptly   | W              | AEC Oak<br>Ridge (1)         | Transferee<br>(3)                              |
| 63.          | E                   | Nuclear Material Trans-<br>action Report Form<br>AEC-741 — filed by<br>transferee | §70.54                | 10 days after receipt of material                | W              | AEC Oak<br>Ridge (1)         | Transferor<br>(1)                              |
| 64.          | C, D, E             | Notifications on trans-<br>portation of licensed<br>materials                     | §71.5(b)              | Prior to shipment                                | W              | Dir., Lic.<br>(5)            | RO Reg.<br>Off. (1)                            |
| 65.          | All                 | Report by general licensee under §71.12   | §71.12(b)(1)<br>(iii) | Prior to first use of package                    | w              | Dir., Lic.<br>(4)            | None   |
| 66.          | A, B, C, E          | Reductions in effective-<br>ness of authorized<br>package during use              | §71.61                | 30 days  | w              | Dir., Lic.<br>(2)            | None   |
| 67.          | A, B, E             | Notice by licensee of failure to receive periodic calls during shipment by road   | §73.31(b)             | Immediately                                      | Tele-<br>phone | RO Reg.<br>Off. <sup>k</sup> | Appropriate<br>Law<br>Enforcement<br>Authority |
| 68.          | A, B, E             | Notice by licensee of failure to receive periodic calls during shipment by rail   | § 73.33(a)            | Immediately                                      | Tele-<br>phone | RO Reg.<br>Off.              | Appropriate I.ew Enforcement Authority         |
| 69           | A, B, E             | Failure of shipment to arrive at destination — notification by consignee          | §73.36(e)             | Immediately                                      | P, T           | RO Reg.<br>Off.              | Deliverer                                      |

| N  | Type of o. Licensee | Report   | Requirement        | Timing  | Method | Primary<br>Recipient | Secondary<br>Addressee |
|----|---------------------|--|--------------------|---|--------|----------------------|------------------------|
| 70 | ). <b>A, B, E</b>   | Action taken to trace shipment — notification by licensee who made the physical protection arrangements      | §73.36(e)          | lmmediately   | P, T   | RO Reg.<br>Off,      | None                   |
| 7  | I. A, B, E          | Results of trace investi-<br>gation of lost or unac-<br>counted for shipment                                 | § 73.71(a)         | Immediately   | P, T   | RO Reg.<br>Off.      | None                   |
| 7: | 2. A, B, E          | Results of trace investi-<br>gation of lost or unac-<br>counted for shipment                                 | §73.71(a)          | 15 days   | w      | RO Reg.<br>Off. (2)  | Dir., RO (8)           |
| 73 | 3. A, B, E          | Report of suspected theft<br>or diversion of SNM or<br>industrial sabotage against<br>plant                  | §73.71(b)          | Immediately   | P, T   | RO Reg.<br>Off.      | None                   |
| 7. | 4. A, B, E          | Report of suspected theft or diversion of SNM or industrial sabotage against plant                           | §73.71(b)          | 15 days   | w      | RO Reg.<br>Off. (2)  | Dir., RO (8)           |
| 7  | 5. A                | Construction deficiency report   | § 115.43(c)<br>(2) | Promptly  | P, T   | RO Reg.<br>Off.      | None                   |
| 7( | 6. A                | Construction deficiency report   | § 115.43(c)<br>(3) | 30 days   | w      | RO Reg.<br>Off. (2)  | Dir., RO (25)          |
| 7  | 7. A                | Report of facility changes, tests, and experiments conducted without prior AEC approval                      | § 115.47(b)        | Annually or as otherwise specified in authorization | W      | RO Reg.<br>Off. (2)  | Dir., RO (40)          |
| 71 | B. A, B             | Bodily injury or property damage from possession or use of radioactive material resulting in indemnity claim | § 140.6(a)         | Promptly as practicable                             | W      | Dir., Lic.<br>(20)   | None                   |
| 7' | 9. A                | Balance sheet and operating statement  | § 140.18(a)        | Annually  | w      | Dir., Lic.<br>(8)    | None                   |

| No. | Type of<br>Licensee | Report  | Requirement | Timing                            | Method | Primary<br>Recipient | Secondary<br>Addressee |
|-----|---------------------|---|-------------|-----------------------------------|--------|----------------------|------------------------|
| 80. | E                   | Nuclear Material Transaction Report Form AEC-741 — filed by transferor of SNM             | § 150.16(a) | Promptly                          | W      | AEC Oak<br>Ridge (1) | Transferee<br>(3)      |
| 81. | E                   | Nuclear Material Transaction Report Form AEC-741 — filed by transferee of SNM             | §150.16(a)  | 10 days after receipt of material | W      | AEC Oak<br>Ridge (1) | Transferor (1)         |
| 82. | <b>E</b>            | Theft or unlawful diversion of SNM or attempted theft or unlawful diversion of SNM        | §150.16(b)  | Promptly                          | P. T   | RO Reg.<br>Off,      | None                   |
| 83. | E                   | Theft or unlawful diversion of SNM or attempted theft or unlawful diversion of SNM        | §150.16(b)  | 15 days                           | W      | RO Reg.<br>Off. (2)  | Dir.,<br>RO (6)        |
| 84. | D                   | Nuclear Material Transaction Report Form AEC-741 — filed by transferor of source material | § 150.17(a) | Promptly                          | W      | AEC Oak<br>Ridge (1) | Transferee<br>(3)      |
| 85. | D                   | Nuclear Material Transaction Report Form AEC-741 — filed by transferee of source material | § 150.17(a) | 10 days after receipt of material | W      | AEC Oak<br>Ridge (1) | Transferor (1)         |
| 86. | D                   | Annual statement of source material inventory   | § 150.17(b) | Annually                          | w      | AEC Oak<br>Ridge (1) | None                   |
| 87. | D                   | Unlawful diversion or theft of source material  | § 150.17(c) | Promptly                          | P, T   | RO Reg.<br>Off.      | None                   |
| 88. | D                   | Unlawful diversion or theft of source material  | §150.17(c)  | 15 days                           | w      | RO Reg.<br>Off. (2)  | Dir., RO (6)           |
| 89. | С                   | Tritium transfer report<br>Form AEC-741 — filed<br>by transferor                          | § 150.19(a) | Promptly                          | W      | AEC Oak<br>Ridge (1) | Transferee<br>(3)      |
| 90. | С                   | Tritium transfer report<br>Form AEC-741 — filed by<br>transferee                          | §150.19(a)  | 10 days after receipt of material | W      | AEC Oak<br>Ridge (1) | Transferor (1)         |
| 91. | С                   | Tritium inventory report  | § 150.19(b) | Semiannually                      | W      | AEC Oak<br>Ridge (1) | None                   |
| 92. | С                   | Unlawful diversion or theft of tritium  | § 150.19(c) | Promptly                          | P, T   | RO Reg.<br>Off.      | None                   |

| No.  | Type of Licensee | Report   | Requirement                         | Timing I  | Meth <b>od</b> | Primary<br>Recipient | Secondary<br>Addressee |
|------|------------------|--|-------------------------------------|---|----------------|----------------------|------------------------|
| 93.  | <b>c</b> .       | Unlawful diversion or theft of tritium                                   | §150.19(c)                          | 15 days   | w              | RO Reg.<br>Off. (2)  | Dir., RO<br>(6)        |
| 94.  | C, D, E          | Report of proposed activities in non-<br>Agreement States — Form AEC-241 | ·                                   | 3 days prior<br>to engaging<br>in each such<br>activity   | w              | RO Reg.<br>Off.(4)   | None                   |
| 95.  | A                | Startup of Reactor   | ·                                   | Within (1) 90 days following completion of the startup test program, (2) 90 days following resumption or commencemen of commercial power operation or (3) 9 month following initial criticality, whichever is earliest. If all three events are not completed supplementary ports every 3 months. | on,<br>s<br>il | RO.Reg.<br>Off. (2)  | Dir., RO<br>(25)       |
| 96.  | A, B             | Annual Operating Report  | Tech Specs                          | Annually  | w              | RO Reg.<br>Off. (2)  | Dir., RO<br>(40)       |
| 97.  | A, B             | Monthly Operating Report   | Tech Specs                          | Monthly   | w              | Dir., RO<br>(10)     | RO Reg.<br>Off. (1)    |
| 98.  | A, B             | Abnormal Occurrences   | Tech Specs                          | 24 hours  | P, T           | RO Reg.<br>Off.      | None                   |
| 99.  | A, B             | Abnormal Occurrences   | Tech Specs                          | 14 days   | w              | RO Reg.<br>Off. (3)  | Dir., RO<br>(40)       |
| 100. | A, B             | Abnormal Occurrences   | Tech Specs                          | 30 days   | w              | RO Reg.<br>Off. (3)  | Dir., RO<br>(30)       |
| 101. | А, В             | Source Leakage Report  | Tech Specs for<br>Part 50 Licensees | Annually  | W -            | RO Reg.<br>Off. (2)  | Dir., RO<br>(4)        |

| No.  | Type of<br>Licensee | Report  | Requirement                                     | Timing    | Method | Primary<br>Recipient | Secondary<br>Addressee |
|------|---------------------|---|---|-----------|--------|----------------------|------------------------|
| 102. | С                   | Source Leakage Report   | License condi-<br>tion for Part 30<br>Licensees | 5 days    | w      | RO Reg.<br>Off. (2)  | Dir., RO<br>(5)        |
| 103. | <b>A</b>            | Annual Environmental<br>Operating Report  | Tech Specs                                      | Annually  | W      | RO Reg.<br>Off. (2)  | Dir., RO<br>(20)       |
| 104. | Α                   | Nonroutine Environ-<br>mental Operating Report  | Tech Specs                                      | 24 hours  | P, T   | RO Reg.<br>Off,      | None                   |
| 105. | A                   | Nonroutine Environ-<br>mental Operating Report  | Tech Specs                                      | 10 days   | w      | RO Reg.<br>Off. (2)  | Dir., RO<br>(20)       |
| 106. | A                   | Nonroutine Environ-<br>mental Operating Report  | Tech Specs                                      | 30 days   | w      | RO Reg.<br>Off. (2)  | Dir., RO<br>(20)       |
| 107. | A                   | Nonroutine Radiological<br>Environmental Operating<br>Reports — Anomalous<br>Measurement Report | Tech Specs                                      | 10 days   | W      | RO Reg.<br>Off. (2)  | Dir., RO<br>(20)       |
| 108. | A                   | Nonroutine Radiological<br>Environmental Operating<br>Report — Pathway<br>Measurement Report    | Tech Specs                                      | 30 days   | W      | RO Reg.<br>Off. (2)  | Dir., RO<br>(20)       |
| 109. | <b>A</b>            | Nonroutine Radioactive Effluents Reports — Gaseous & Liquid Radioactive Wastes                  | Tech Specs                                      | Quarterly | W      | RO Reg.<br>Off. (2)  | Dir., RO<br>(20)       |
| 110. | А                   | Nonroutine Radioactive<br>Effluents Reports - BWR<br>Gaseous Wastes                             | Tech Specs                                      | 10 days   | w      | RO Reg.<br>Off. (2)  | Dir., RO<br>(20)       |